



DEPARTMENT OF THE ARMY
US ARMY MEDICAL RESEARCH AND MATERIEL COMMAND
504 SCOTT STREET
FORT DETRICK MD 21702-5014

MCMR-AAP-A

17 November 2016

MEMORANDUM FOR DISTRIBUTION

SUBJECT: Procurement Advisory Notice (PAN) 17-05 Contractor Performance Assessment Reporting System (CPARS) Guidance for Contracting Officer Representatives (CORs)

1. PURPOSE. The purpose of this memorandum is to provide CORs additional guidance on the responsibilities and process associated with timely completion of contractor performance assessments within CPARS.

2. REFERENCES. See also Attachment A for FAR and AFARS specific guidance.

a. DoD Instruction 5000.72, dated March 26, 2015 located at <http://www.dtic.mil/whs/directives/corres/pdf/500072p.pdf>.

b. DoD COR Handbook for CORs to use every day for guidance located at http://www.acq.osd.mil/dpap/cpic/cp/docs/USA001390-12_DoD_COR_Handbook_Signed.pdf.

c. USAMRAA PAN 17-04 Administration and Surveillance of Service Contracts

d. CPARS System, Manual located at https://www.cpars.gov/pdfs/CPARS_User_Manual.pdf and Training located at <https://www.cpars.gov/webtrain.htm>.

e. PPIRS System, Manual located at <https://www.ppirs.gov/reference.htm> and Training located at <https://www.ppirs.gov/webtrain.htm>.

3. ATTACHMENTS.

a. Attachment A – FAR, DFARS, and AFARS specific references

b. Attachment B - CPARS Timeline

c. Attachment C – Helpful Links

d. Attachment D - Sample COR Appointment Letter

e. Attachment E – Department of Defense CPAR Evaluation Dollar Thresholds

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4. BACKGROUND.

a. In accordance with the COR's Appointment letter and DOD Instruction 5000.72, dated March 26, 2015, the COR is required by the requiring activity to perform ancillary duties and responsibilities in their role as an appointed COR. One of these duties and responsibilities includes documenting contractor performance in CPARS. This ancillary duty requires training and obtaining access to the CPARS system.

b. CPARS is the DoD web-based front end automated system used to create, track and report contractor performance. It is the writing tool used to create the performance assessment report.

c. The CPAR is the past performance information (PPI) or report card of a contractor's performance. The Contracting Officer (KO/Assessing Official) and appropriate contracting/technical personnel (Assessing Official Representatives) rate the contractor's performance upon the completion of contract performance or after each 12-month period from the contract award date, if performance exceeds 18 months. A CPAR should contain past performance information that is current and relevant information for future source selection purposes.

d. The Past Performance Information Retrieval System (Report Card), known as PPIRS-RC, is the back-end, read only, web-based system serving as the central repository of CPARS from across all DoD Services and Federal Agencies for use in source selections.

e. The Government relies on past performance data to assist with making award decisions. Therefore, in support of future acquisition efforts, the performance of contractors, under current contracts, is required to be documented in the form of a CPARS assessment and rating. As contained within the COR appointment letter, the COR will be tasked with collecting and reporting contractor performance information. The COR shall be fair in assigning a performance rating and must always provide narrative explaining the rationale to support the rating.

f. Per FAR 42.1502, Contractor performance information is entered into CPARS at least annually and at the time work under the contract or order is completed. CPARS documents the following aspects of the contractor's performance:

- Conformance to contracting requirements and standards of good workmanship;
- Forecasting and control of costs;
- Adherence to contract schedules;
- History of reasonable and cooperative behavior and commitment to customer satisfaction; and,
- Business-like concern for the interest of the customer.

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The Government's CPARS assessment should reflect the contractor's performance as documented by the COR throughout the monitoring/surveillance process during the annual rating period(s) and at the conclusion of the contract or order.

5. TRAINING RESOURCES.

CPARS training is available online and is found on the main menu page of the CPARS website, located at <https://www.cpars.gov>, under the Training Tab. Available Training Includes:

a. Automated Online (Video) Training

(1) CPARS Overview

(2) Quality and Narrative Writing

b. Online Instructor Led Web Training

(1) CPARS Overview

(2) Quality and Narrative Writing

(3) CPARS Reports

6. CPARS DEFINITIONS.

a. Assessing Official Representative (AOR) (COR, or occasionally, the Contract Specialist designated as the Alternate AOR). An Assessing Official Representative has the authority to initiate and update assessments, but can't send the assessment to the contractor or finalize the assessment. The AOR is responsible for entering all ratings and narratives and sending the report to the Assessing Official (AO).

b. Assessing Official (AO) (KO). An Assessing Official evaluates proposed contractor performance narrative and validates the proposed ratings/remarks entered by the AOR. The AO sends the assessment to the Contractor Representative (CR) and receives it back after the CR responds. The AO can close the assessment if the CR concurs with the ratings and narratives.

c. Reviewing Official (RO) (One level above the AO/KO). An RO ensures the assessment is fair, accurate and a true representation of the contractor's performance on a particular contract. ROs must acknowledge consideration of any significant

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discrepancies between the AO's assessment and the CR's remarks. They resolve any non-concurrences between the AO and CR.

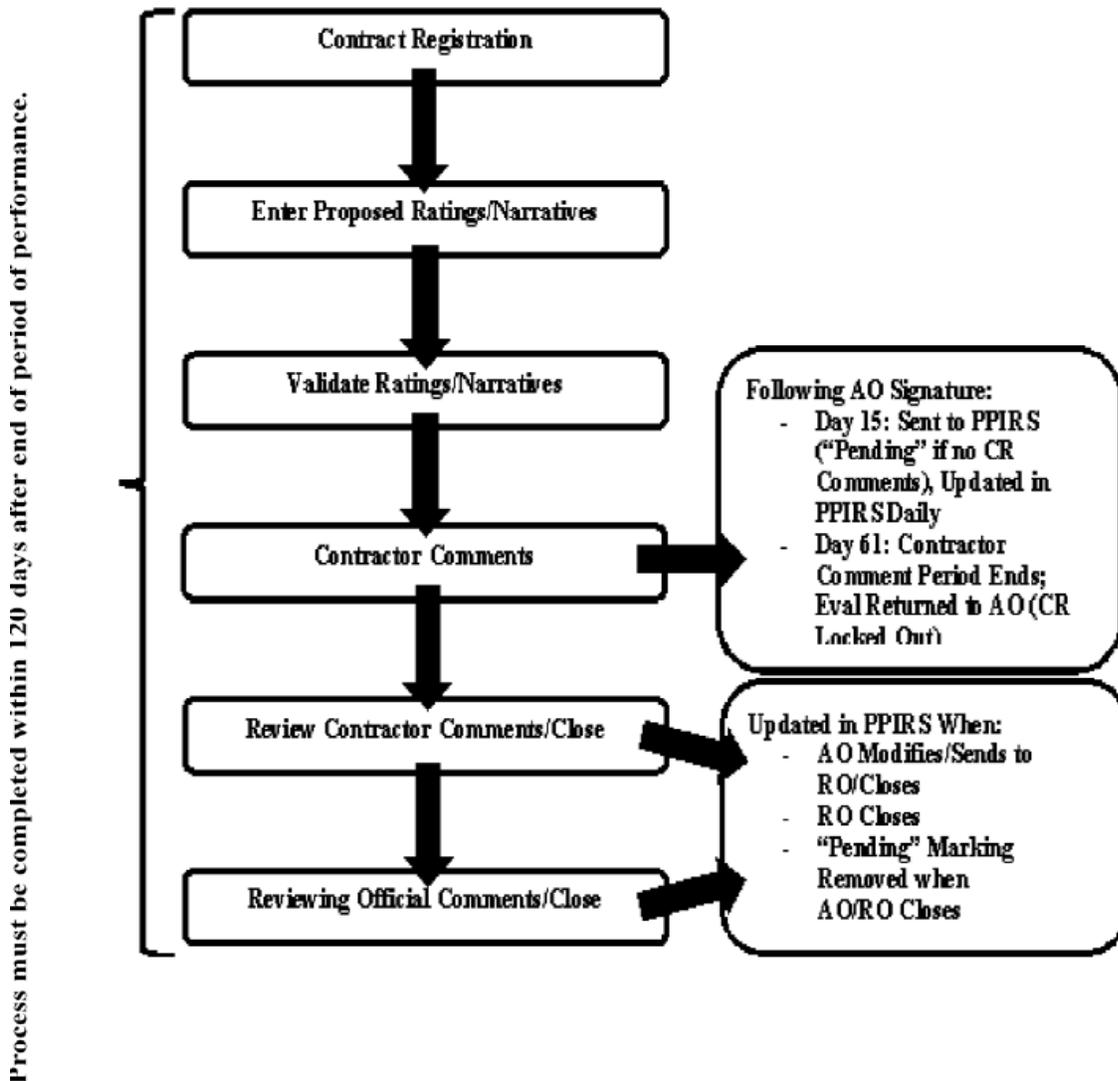
d. Contractor Representative (CR). A CR reviews the assessment and can concur, non-concur, and/or provide comments on the performance report ratings sent by the AO. The CR has 60 days to review, respond and submit the CPAR back to the AO.

e. Focal Point (FP). A FP is responsible for monitoring or providing user report data to management, updating the system with current information, and supporting the user population by training and answering questions. He/she oversees the CPARS system by ensuring processes are completed in a timely manner.

7. CPARS WORKFLOW. If a contract meets the dollar threshold, a CPAR is initiated after the Contract Action Report (CAR) is completed by the KO in the contract writing system, also called, PD2. The Alternate FP designated specifically for each USAMRAA contracting branch (see Attachment E) then assigns access responsibilities to the Contract Specialist and KO (AOR and AO, respectively) based on contract award information contained in Electronic Document Access (EDA).

Alternate Focal Points can provide CPARS access to CORs, as requested. CORs are assigned the AOR role in CPARS. Once the contract is registered, and roles are assigned, the CPAR is routed as shown in the CPAR Workflow Process as depicted in the CPARS Workflow Chart.

CPARS Workflow



8. HOW TO ACCESS THE CPAR. Once the COR has been assigned as an AOR to a contract, he/she will receive an automated message from CPARS granting access to an evaluation. The COR should immediately access the CPAR by following the instructions below to complete each performance evaluation:

a. Enter the CPARS website at <https://www.cpars.gov/>.

b. Click on "System Logon" from the menu located on the right side of the webpage and select "Accept/Login with PKI" to log into CPARS

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c. Enter User ID and click the “Login With PKI” button. *(NOTE: If you are a first time user, select Forgot User ID, and input the requested information to obtain an automated email with your new User ID. Once the User ID is received via email, go back to the log-in screen and enter your User ID and click “Forgot Password”. Enter your User ID and Email to receive a temporary password.)*

d. Once the COR has successfully entered the website, select the “CPARS” button and click on “To-Do List.”

e. Click on the “Contract Number” to open the evaluation you wish to complete. *(NOTE: The Contract Specialist or Procurement Technician should have already completed the following tabs: “Contract Name/Address, “Contract Information”, “Misc Information” and “Small Business Utilization.”)*

f. Select the “Ratings” tab and complete applicable CPAR elements by selecting the appropriate rating and entering supporting narrative. NARRATIVE IS THE MOST IMPORTANT PART OF CPAR! Your narrative should provide the reader with a complete understanding of the contractor’s performance. Narrative should be of sufficient detail to show that your ratings are credible and justified. **See paragraph 9 below for further information on how to develop CPAR rating narratives.**

g. Select the “Assessor” tab, and enter any additional comments, if any, in the “Assessing Official Comments” section. Select your “RECOMMENDATION” from the drop-down, click the “Save Data” button, then select “OK.”

h. Coordinate off-line to determine which AOR (if there are multiple AORs assigned) will select “Validate and Send to the Assessing Official” since any AOR has that capability (once that choice is selected, AORs are no longer able to input evaluation information).

i. Click “Validate and Send to the Accessing Official”, then OK.

j. Click “Return to the Main Menu” and “Logoff.”

9. DEVELOPING CPAR RATINGS.

a. CPARS elements assessed for Systems and Non-Systems (Services) evaluations are as follows:

(1) QUALITY

(2) SCHEDULE

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(3) COST CONTROL

(4) MANAGEMENT

(5) UTILIZATION OF SMALL BUSINESS

(6) REGULATORY COMPLIANCE

(7) OTHER AREAS

b. CPARS Ratings. Performance ratings are described by one of the following adjectives: Exceptional, Very Good, Satisfactory, Marginal, or Unsatisfactory.

RATING	Contract Requirements	Problems	Corrective Actions
EXCEPTIONAL	Exceeds many to the Gov't benefit	Few Minor	Highly Effective
VERY GOOD	Exceeds some to the Gov't benefit	Some Minor	Effective
SATISFACTORY	Meets All	Some Minor	Satisfactory
MARGINAL	Does not meet some	Serious: recovery still possible	Marginally effective: not fully implemented
UNSATISFACTORY	Does not meet most	Serious: recovery not likely	Ineffective

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c. Evaluation Ratings Definitions:

Evaluation Ratings Definitions¹⁷

Rating	Definition	Note
Exceptional	Performance meets contractual requirements and exceeds many to the Government's benefit. The contractual performance of the element or sub-element being evaluated was accomplished with few minor problems for which corrective actions taken by the contractor were highly effective.	To justify an Exceptional rating, identify multiple significant events and state how they were of benefit to the Government. A singular benefit, however, could be of such magnitude that it alone constitutes an Exceptional rating. Also, there should have been NO significant weaknesses identified.
Very Good	Performance meets contractual requirements and exceeds some to the Government's benefit. The contractual performance of the element or sub-element being evaluated was accomplished with some minor problems for which corrective actions taken by the contractor was effective.	To justify a Very Good rating, identify a significant event and state how it was a benefit to the Government. There should have been no significant weaknesses identified.
Satisfactory	Performance meets contractual requirements. The contractual performance of the element or sub-element contains some minor problems for which corrective actions taken by the contractor appear or were satisfactory.	To justify a Satisfactory rating, there should have been only minor problems, or major problems the contractor recovered from without impact to the contract/order. There should have been NO significant weaknesses identified. A fundamental principle of assigning ratings is that contractors will not be evaluated with a rating lower than Satisfactory solely for not performing beyond the requirements of the contract/order.
Marginal	Performance does not meet some contractual requirements. The contractual performance of the element or sub-element being evaluated reflects a serious problem for which the contractor has not yet identified corrective actions. The contractor's proposed actions appear only marginally effective or were not fully implemented.	To justify Marginal performance, identify a significant event in each category that the contractor had trouble overcoming and state how it impacted the Government. A Marginal rating should be supported by referencing the management tool that notified the contractor of the contractual deficiency (e.g., management, quality, safety, or environmental deficiency report or letter).
Unsatisfactory	Performance does not meet most contractual requirements and recovery is not likely in a timely manner. The contractual performance of the element or sub-element contains a serious problem(s) for which the contractor's corrective actions appear or were ineffective.	To justify an Unsatisfactory rating, identify multiple significant events in each category that the contractor had trouble overcoming and state how it impacted the Government. A singular problem, however, could be of such serious magnitude that it alone constitutes an unsatisfactory rating. An Unsatisfactory rating should be supported by referencing the management tools used to notify the contractor of the contractual deficiencies (e.g., management, quality, safety, or environmental deficiency reports, or letters).

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d. Evaluation Ratings Definitions (for the Small Business Evaluation Factor):

Evaluation Ratings Definitions¹⁸ (For the Small Business Evaluation Factor, when 52.219-9 is used)

Rating	Definition	Note
Exceptional	Exceeded all statutory goals or goals as negotiated. Had exceptional success with initiatives to assist, promote, and utilize small business (SB), small disadvantaged business (SDB), women-owned small business (WOSB), HUBZone small business, veteran-owned small business (VOSB) and service disabled veteran owned small business (SDVOSB). Complied with FAR 52.219-8, Utilization of Small Business Concerns. Exceeded any other small business participation requirements incorporated in the contract/order, including the use of small businesses in mission critical aspects of the program. Went above and beyond the required elements of the subcontracting plan and other small business requirements of the contract/order. Completed and submitted Individual Subcontract Reports and/or Summary Subcontract Reports in an accurate and timely manner.	To justify an Exceptional rating, identify multiple significant events and state how they were a benefit to small business utilization. A singular benefit, however, could be of such magnitude that it constitutes an Exceptional rating. Small businesses should be given meaningful and innovative work directly related to the contract, and opportunities should not be limited to indirect work such as cleaning offices, supplies, landscaping, etc. Also, there should have been no significant weaknesses identified.
Very Good	Met all of the statutory goals or goals as negotiated. Had significant success with initiatives to assist, promote and utilize SB, SDB, WOSB, HUBZone, VOSB, and SDVOSB. Complied with FAR 52.219-8, Utilization of Small Business Concerns. Met or exceeded any other small business participation requirements incorporated in the contract/order, including the use of small businesses in mission critical aspects of the program. Endeavored to go above and beyond the required elements of the subcontracting plan. Completed and submitted Individual Subcontract Reports and/or Summary Subcontract Reports in an accurate and timely manner.	To justify a Very Good rating, identify a significant event and state how they were a benefit to small business utilization. Small businesses should be given meaningful and innovative opportunities to participate as subcontractors for work directly related to the contract, and opportunities should not be limited to indirect work such as cleaning offices, supplies, landscaping, etc. There should be no significant weaknesses identified.

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Satisfactory	Demonstrated a good faith effort to meet all of the negotiated subcontracting goals in the various socio-economic categories for the current period. Complied with FAR 52.219-8, Utilization of Small Business Concerns. Met any other small business participation requirements included in the contract/order. Fulfilled the requirements of the subcontracting plan included in the contract/order. Completed and submitted Individual Subcontract Reports and/or Summary	To justify a Satisfactory rating, there should have been only minor problems, or major problems the contractor has addressed or taken corrective action. There should have been no significant weaknesses identified. A fundamental principle of assigning ratings is that contractors will not be assessed a rating lower than Satisfactory solely for not performing beyond the requirements of the contract/order.
Marginal	Deficient in meeting key subcontracting plan elements. Deficient in complying with FAR 52.219-8, Utilization of Small Business Concerns, and any other small business participation requirements in the contract/order. Did not submit Individual Subcontract Reports and/or Summary Subcontract Reports in an accurate or timely manner. Failed to satisfy one or more requirements of a corrective action plan currently in place; however, does show an interest in bringing performance to a satisfactory level and has demonstrated a commitment to apply the necessary resources to do so. Required a corrective action plan.	To justify Marginal performance, identify a significant event that the contractor had trouble overcoming and how it impacted small business utilization. A Marginal rating should be supported by referencing the actions taken by the government that notified the contractor of the contractual deficiency.
Unsatisfactory	Noncompliant with FAR 52.219-8 and 52.219-9, and any other small business participation requirements in the contract/order. Did not submit Individual Subcontract Reports and/or Summary Subcontract Reports in an accurate or timely manner. Showed little interest in bringing performance to a satisfactory level or is generally uncooperative. Required a corrective action plan.	To justify an Unsatisfactory rating, identify multiple significant events that the contractor had trouble overcoming and state how it impacted small business utilization. A singular problem, however, could be of such serious magnitude that it alone constitutes an Unsatisfactory rating. An Unsatisfactory rating should be supported by referencing the actions taken by the government to notify the contractor of the deficiencies. When an Unsatisfactory rating is justified, the contracting officer must consider whether the contractor made a good faith effort to comply with the requirements of the subcontracting plan required by FAR 52.219-9 and follow the procedures outlined in FAR 52.219-16, Liquidated Damages-Subcontracting Plan.

NOTE 1: Generally, zero percent is not a goal unless the Contracting Officer determined when negotiating the subcontracting plan that no subcontracting opportunities exist in a particular socio-economic category. In such cases, the contractor shall be considered to have met the goal for any socio-economic category where the goal negotiated in the plan was zero.

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e. Narratives. Ensure that your CPAR narrative:

- (1) Is provided for each performance area you assess.
- (2) Is consistent with the rating definitions.
- (3) Is consistent with other methods of evaluating Contractor performance (e.g., Earned Value Management, Program Reviews, Informal Performance Assessment Reports, and Award Fee Determinations).
- (4) Addresses changes in the ratings from prior reports.
- (5) Recognizes the Government's role in the Contractor's inability to meet contract requirements.
- (6) Recognizes the risk inherent in the contract/order effort.
- (7) Is based on objective data.
- (8) Indicates which strengths/weaknesses were major/minor.
- (9) Tells the "whole story."
- (10) Documents resolution of problems identified in previous evaluations.
- (11) Is accurate, fair, and comprehensive.

f. Narrative Statements to Avoid:

(1) "Outside the scope of the contract" – This phrase should not be in a CPAR narrative. It implies that the Contractor performed work not legally required and is eligible for an equitable adjustment to the contract. An equitable adjustment means that the program office/customer will have to come up with additional funds to pay for the additional tasks.

(2) "In our opinion" – This is a subjective phrase which gives the impression that there is no firm evidence to prove poor performance.

(3) "Appeared" – This is a speculative remark that does not provide proof of anything.

(4) "We believe" – This is also a speculative remark. It does not prove that the Contractor did not satisfy some requirements.

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(5) "It is our hope" – This statement does not belong in a CPAR narrative.

(6) "We were not happy" – This is an emotional and subjective statement that should be avoided. The CPAR should reflect justification for the successes/failures from the factory test.

(7) "We did not like" – The customer should evaluate the actual (not preferred) results.

(8) "We think" – This phrase implies that the customer has not proven the Contractor's poor performance with evidence.

(9) "Could be" – This phrase indicates that the customer is not sure of the reason for deficiencies.

(10) "We hope" – This phrase implies that the delivery/performance of a line item(s) is a desire, not a contractual requirement.

10. REPORTING.

a. Interim Reports - (New Contracts): An interim CPAR is required for new contracts meeting the thresholds identified at DFARS Subpart 242.15 that have a period of performance greater than 365 calendar days. The first interim CPAR must reflect evaluation of at least the first 180 calendar days of performance under the contract, and may include up to the first 365 calendar days of performance. For contracts with a period of performance of less than 365 calendar days, see Final Reports below.

b. Annual Interim Reports: Interim CPARS are also required every 12 months throughout the entire period of performance of the contract up to the final report. An interim CPAR is also required:

(1) Upon a significant change within the agency, provided that a minimum of six months of performance has occurred, such as the following:

(a) Change in program or project management responsibility

(b) Transfer of contract, BPA, or BOA order to a different contracting activity

(2) An interim CPAR shall be started prior to transfer of AOR or AO duties from one individual to another if there is six or more month's performance to go prior to the next CPAR to ensure continuity. *(NOTE: An interim CPAR is limited to contractor performance occurring after the preceding CPAR. To improve efficiency in preparing the*

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CPAR, it is recommended that the CPAR be completed together with other reviews (e.g., major program events, program milestones and quality assurance surveillance records).

c. Final Report: A final CPAR will be completed upon contract completion or delivery of the final major end item on contract. Final reports are to be prepared on all contracts meeting the thresholds established at DFARS Subpart 242.15 with a period of performance of less than 365 calendar days but, no more than 18 months. The final CPAR does not include cumulative information, but only information on the period of performance since the last CPAR.

d. Addendum Reports: You may prepare an Addendum Report after the final past performance evaluation to record the contractor's performance relative to contract closeout, warranty performance, and other administrative requirements. This is an optional report.

10. PROPONENT. The proponent for this Procurement Advisory Notice (PAN) 17-05 is the USAMRAA Procurement Policy Branch. Please submit any comments, concerns and suggestions to the Procurement Policy Branch e-mail address at USARMY Ft. Detrick MEDCOM USAMRAA Mailbox policy usarmy.detrick.medcom-usamraa.mbx.policy@mail.mil.

//ORIGINAL SIGNED//
BRIAN E. MARTIN
Principal Assistant Responsible
for Contracting

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Attachment A - References

1. General past-performance information:

a. FAR 15.305(a)(2) - Proposal Evaluation: Past performance information (PPI) is one indicator of an offeror's ability to successfully perform the contract, which shall be considered in the evaluation of competitive proposals required to be done by an agency.

b. FAR 42.1502(a) - Policy: Agencies shall prepare an evaluation of contractor performance for each contract above the established dollar thresholds.

c. FAR 42.1502(b) - Agencies shall prepare an evaluation of contractor performance for each contract that exceeds the simplified acquisition threshold.

d. DFARS 242.1502 – Evaluation Thresholds.

e. AFARS 5115.305(a)(2) - Proposal Evaluation: When possible, use past performance information available from Government-wide and agency-wide databases.

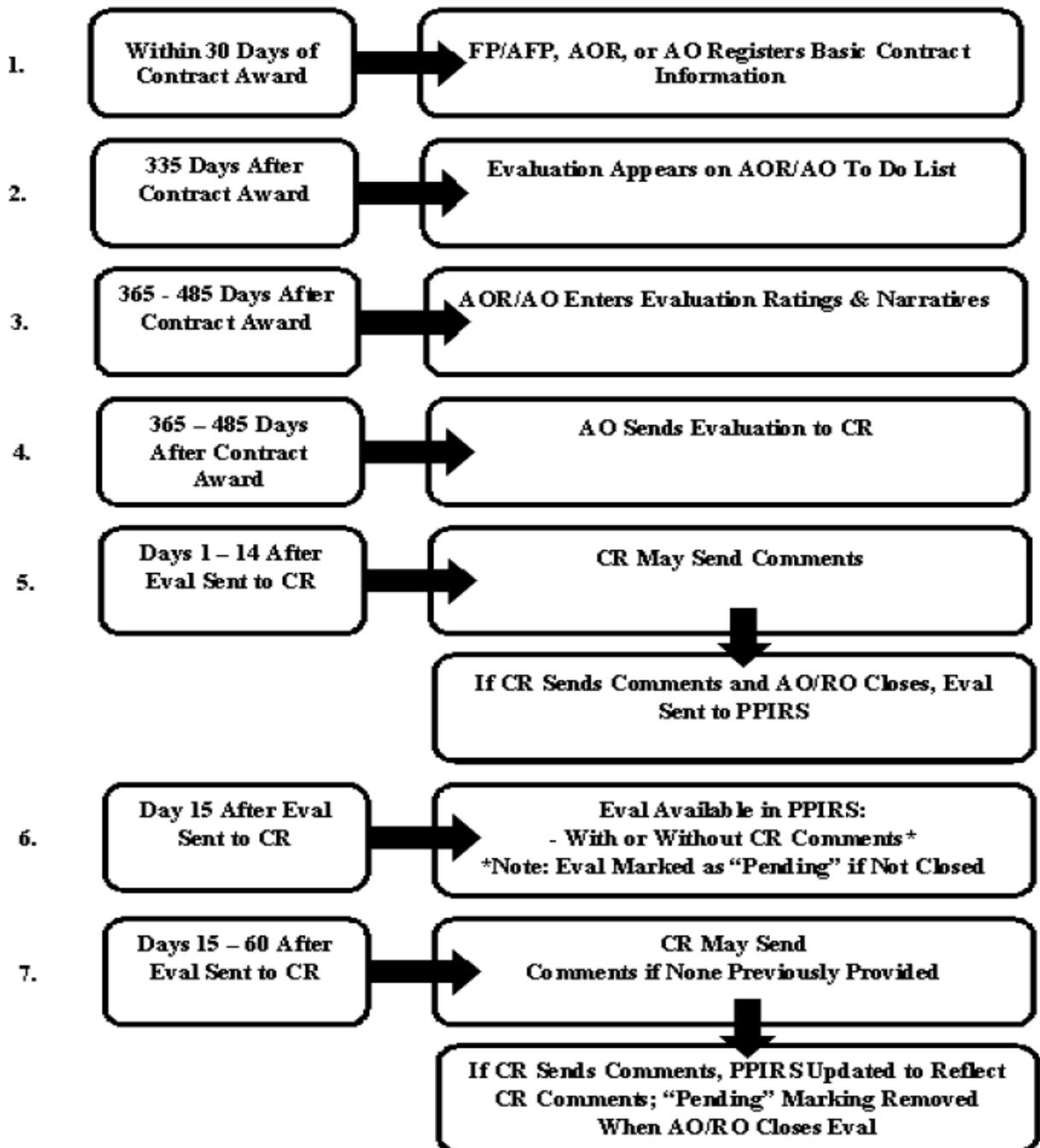
2. Past performance information for business sectors of Systems, Services, Information Technology & Operations Support (Spares & Repair Parts):

a. FAR 12.206 - Use of Past Performance: Past-performance is an important element when evaluating commercial items.

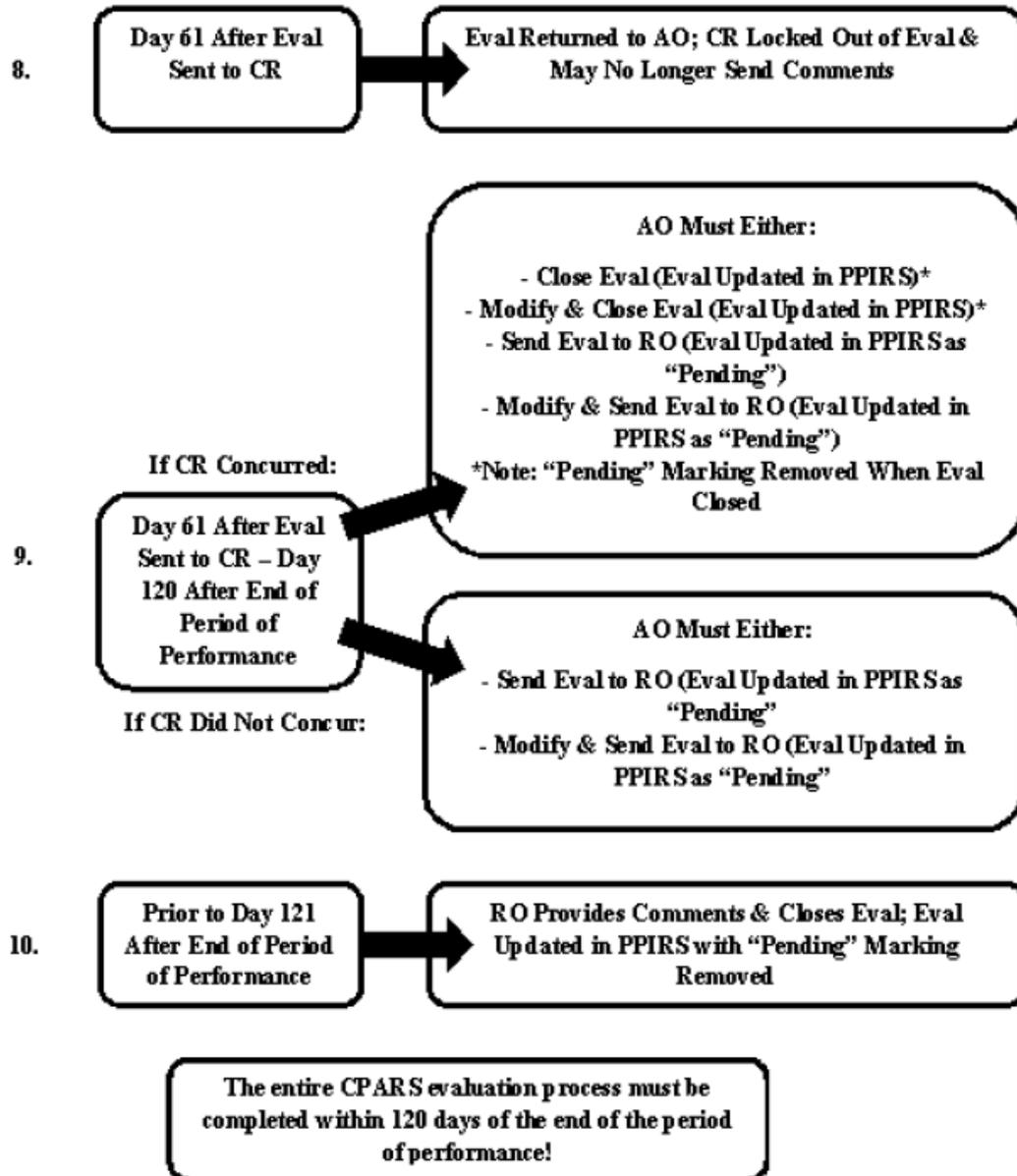
b. FAR 15.304(c)(2) - Evaluation Factors and Significant Sub factors: Every source selection shall address the quality of the product or service through consideration of one or more non-cost evaluation factors, such as past performance.

Attachment B- CPARS Timeline

4.8 CPARS Timeline



Attachment B – CPARS Timeline (cont.)



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Attachment C – Helpful Links

1. CPARS Quality Checklist: <https://www.cpars.gov/pdfs/CPARSQualityChecklist.pdf>
2. Guidance for the Contractor Performance Assessment Reporting System: <https://www.cpars.gov/pdfs/CPARS-Guidance.pdf> (See Attachment 3 - Instructions for Completing a CPAR)
3. CPAR FAQs - <https://www.cpars.gov/freqask.htm>

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Attachment D – Sample COR Appointment Letter



DEPARTMENT OF THE ARMY

EFFECTIVE DATE: [XX Jan XX]

MEMORANDUM FOR:

SUBJECT: Designation of Contracting Officer's Representative

Reference: (a) DFARS Part 201.602-2

(b) FAR 3.2

1. Pursuant to reference (a) you are designated as the Contracting Officer's Representative (COR) for the administration of the following contract/order:

Contract Number: [W81XWH-XX-X-XXXX]

For:

Name of Contractor: [LIST CONTRACTOR NAME]

Contract Period of Performance: [LIST DATES OF PERFORMANCE]

2. You will serve as the COR throughout the period of performance of this contract unless this appointment is terminated. Your performance and contributions as the COR may be reported to your immediate supervisor as part of your official performance review.

As a matter of practice, the COR should prepare Memorandums for the Record (MFR) of all meetings, trips and telephone conversations relating to this contract/order. Each MFR, other similar records and all other correspondence relating to this contract/order shall cite the contract number/order number. A copy of all documentation and correspondence shall be furnished to the Contracting Officer and all other interested government parties having a need to know. Consideration must be given to restrictions regarding contractor proprietary data, as well as classified and business sensitive information.

Attachment D – Sample COR Appointment Letter (cont.)

3. You shall NOT:
 - a. Re-delegate your COR authority. Take any actions that would commit or change the contract/order price, quantity, quality, schedule/delivery, scope of work, place of performance, or any other term or condition of the existing contract. You may be held personally liable for unauthorized actions.
 - b. Direct or redirect any contract/order action. This can only be done by the Contracting Officer.
 - c. Advise the contractor HOW to perform but rather WHAT is required in the contract/order, including participating in any manner in the hiring process.
 - d. Discuss acquisition plans, strategies or provide any advance information that might give one contractor an advantage over another contractor in forthcoming procurements.

4. You ARE AUTHORIZED to take action with respect to the following:
 - a. Maintain liaison with the prime contractor, your staff, other contractors, and customers related to the project.
 - b. Perform inspection and acceptance for the Government assuring performance/delivery is in accordance with contract/order requirements, terms and conditions. Ensure the hours worked by the contractor are the hours billed in the contractor's invoice. [For more complex acquisitions, the Contracting Officer may choose to retain authority for acceptance.]
 - c. Promptly report to the Contracting Officer, in writing, any performance issues/delays by the contractor. Your written notice should include actions you have taken to assist in remedying the situation.
 - d. Ensure the Government meets its contractual obligations to the contractor under the contract/order. This includes Government-furnished equipment, information and services called for under the contract/order, and timely government comment on or approval of any draft deliverables as may be required by the contract/order.
 - e. Inform the Contracting Officer, in writing, of any needed changes to the scope of work included in the contract/order; and specify if these changes were recommended by you or the contractor.
 - f. When possible, but without change to the existing contract/order, resolve issues.
 - g. Work with the contractor and the Contracting Officer to resolve issues.
 - h. Verify the contractor has taken corrective measures and problem is resolved.
 - i. Maintain contract/order files that include: A copy of the contract/order and all modifications (unless readily available electronically); this COR designation memorandum; correspondence between you and the contractor; copies of correspondence to or from the Contracting Officer; minutes of all meetings;

Attachment D – Sample COR Appointment Letter (cont.)

copies of all invoices submitted and paid; copies of all contractor data submittals; records of all inspections performed and the results; and all other documentation of actions taken by you.

- j. Upon completion of the contract/order (or termination of your appointment), turn over all COR files to the Contracting Officer (or your successor COR if your appointment is terminated prior to completion of the contract/order). Assist with contract/order closeout.
5. You MAY monitor the administrative and funds requirements with respect to the following:
- a. Notify the Contracting Officer immediately of any indication that the cost to the Government for completing performance under the contract/order will exceed the amount stated in the contract/order.
 - b. Report any indication that the costs incurred are not appropriately charged to the contract/order.
 - c. You must validate that sufficient funding is available by each contract/order, CLIN and subCLIN before providing your certification for invoice payment. Under no circumstances shall invoices be certified for payment that exceeds the funds obligated and allocated to each CLIN and subCLIN.
6. You MUST COMPLETE the following training:
- a. Baseline COR training per USD AT&L memo dated 29 March 2010.
 - b. Annual DOD ethics training;
 - c. Online Wide Area Workflow Tutorial; available at:
<http://www.wawftraining.com/index.html>.
 - d. Electronic Document Access (EDA) training; available at:
<http://eda.ogden.disa.mil/>.

Standards of Conduct and Conflict of Interests. You are reminded that Government employment, as a public trust, requires that DoD personnel place loyalty to country, ethical principles, and law above private gain and other interests. You must comply with DOD 5500.7-R, Joint Ethics Regulation. As a COR, you are directed to read and familiarize yourself with reference (b) to ensure that, in carrying out your responsibilities in your official capacity, you avoid any action which might result in, or reasonably be expected to create the appearance of, conduct prejudicial to the Government. You will not allow yourself to be placed in a position which conflict of

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Attachment D – Sample COR Appointment Letter (cont.)

interest might arise or might justifiably be suspected. You are reminded that throughout the Federal Acquisition Regulation and Defense Federal Acquisition

Regulation Supplement there is direction relating to gratuities, and it applies not only to you but also to members of your family. You are cautioned that if you violate any of the Standards of Conduct, you will be subject to the full range of statutory and regulatory sanctions.

7. You are required to acknowledge receipt of this appointment letter and return the original to the Contracting Officer for retention in the contract file. Please make certain that you retain a copy of this letter for your official COR files. Should you have any questions regarding this letter of appointment, please contact [] at [], or [].

8. The Following additional duties are directed:

[Note: The COR is required to perform ancillary duties and responsibilities by the requiring activity or COR management. These duties (e.g., documentation of contractor performance in CPARS) may or may not be designated by the contracting officer. These ancillary duties or responsibilities may require training, and obtaining access to systems (e.g., CPARS). The COR nominee, or COR, once designated, must work with COR management to ensure that required training and access, etc. are obtained before he or she undertakes these responsibilities.]

Contracting Officer

Name & Signature: _____ Date: _____

Telephone: _____ E-mail Address: _____

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Attachment D – Sample COR Appointment Letter (cont.)

COR ACKNOWLEDGEMENT

I acknowledge receipt of my COR appointment. I have received and understand the assigned duties and responsibilities. I certify that I have no personal or other conflict of interest with regard to this appointment.

COR Name/Title
& Signature: _____ Date: _____

Telephone: _____ E-mail Address: _____

CONTRACTOR ACKNOWLEDGEMENT

I acknowledge receipt of this COR Appointment. I also certify that no organization conflict of interest exists as a result of this appointment.

Contractor Name/Title
& Signature: _____ Date: _____

Telephone: _____ E-mail Address: _____

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Attachment E- Department of Defense CPAR Evaluation Dollar Thresholds

Business Sector	Dollar Threshold
<u>Systems</u>	
Science and Technology	> \$5,000,000 for Budget Activity 6.4 and over
<u>Non-Systems</u>	
Operations Support	> \$5,000,000
Services	> \$1,000,000
Information Technology	> \$1,000,000
Science and Technology	Not required but encouraged at > \$1,000,000 for Budget Accounts 6.4 and over

*****NOTE: CONTRACTS USING 6.1 BASIC RESEARCH, 6.2 APPLIED RESEARCH, AND 6.3 ADVANCED TECHNOLOGY DEVELOPMENT FUNDS ARE NOT REQUIRED TO BE ENTERED INTO CPARS.**